

**UNITED STATES DISTRICT COURT
FOR THE MIDDLE DISTRICT OF TENNESSEE
NASHVILLE DIVISION**

**SECURITIES AND EXCHANGE
COMMISSION,**

Plaintiff,

v.

**CAPWEALTH ADVISORS, LLC,
TIMOTHY J. PAGLIARA, AND
TIMOTHY R. MURPHY,**

Defendants.

Case No. 3:20-cv-01064

**JUDGES
CRENSHAW/FRENSLEY**

JURY TRIAL DEMANDED

PLAINTIFF'S EXHIBIT LIST

Pl.'s Ex. No.	Date	Brief Description	Identifier
1.	3/6/2015	Form ADV Part II	Pl. Dep. Ex. 1
2.		Form ADV (Paper Version) Uniform Application for Investment Adviser Registration Expires February 28, 2018	Pl. Dep. Ex. 2
3.	2/8/2016	Form ADV Part 2B Brochure Supplement – Timothy J. Pagliara	Pl. Dep. Ex. 3
4.	7/18/2011	Letter to R. Scott Roland CapWealth Advisors, LLC	Pl. Dep. Ex. 4
5.	8/11/2011	Letter to Ms. Ragni Walker, Liaison from R. Scott Roland	Pl. Dep. Ex. 5

6.	6/15/2020	Wells Submission of CapWealth Advisors, LLC	Pl. Dep. Ex. 6
7.	5/19/2020	Investigative Testimony of Timothy Murphy	Pl. Dep. Ex. 7
8.	2/8/2016	Form ADV Part 2B Brochure Supplement - Timothy R. Murphy	Pl. Dep. Ex. 8
9.	1/30/2017	Murphy e-mail to Morgan Murphy	Pl. Dep. Ex. 9
10.	3/31/2015	CapWealth Advisors LLC Quarterly Report	Pl. Dep. Ex. 10
11.	9/2/2008	Consulting Agreement	Def. Dep. Ex. 11
12.	3/25/2011	Form ADV Part II	Def. Dep. Ex. 12
13.	3/15/2018	Email chain between Pagliara and Venable	Investigative Ex. 13
14.	6/11/2018	Email chain between Venable and Olive	Investigative Ex. 14
15.	11/27/2018	Venable email to Jordan forwarding emails between Venable, Olive and Hitt	Investigative Ex. 15
16.	12/31/2018	Form ADV Part II	Investigative Ex. 16
17.		1st Bridgehouse Contract	Def. Dep. Ex. 17
18.		1st Bridgehouse Invoice #14-1134	Def. Dep. Ex. 18
19.		Summary CapWealth 12b1 fees Sterne	Investigative Ex. 19
20.	5/13/2015	Email chain between Venable and Pagliara	Investigative Ex. 8
21.	6/30/2015	Pagliara Background Questionnaire	Investigative Ex. 21
22.	10/20/2015	Email between Venable and Hitt	Investigative Ex. 10

23.	2/8/2016	Form ADV Part II	Investigative Ex. 6 & Def. Dep. Ex. 23
24.	6/20/2017	Email chain between Roland and Venable	Def. Dep. Ex. 24
25.	6/16/2017	Email from Venable to Roland	Investigative Ex. 11 & Def. Dep. Ex. 25
26.	1/8/2015	Email from Exner to multiple recipients including Roland and Olive	SEC-INTLFCS-E-0069687-90 & native file
27.	2/27/2018	Email from Venable to Pagliara and Jordan	Investigative Ex. 12
28.	2018	CapWealth Prospect Literature	Investigative Ex. 17
29.	2/20/2020	Letter from Venable to Basinger	Investigative Ex. 18
30.	3/3/2015	Email chain between Venable and Lueken	Investigative Ex. 7
31.	6/30/2015	Email chain between Venable and others	Investigative Ex. 9
32.		Venable Background Questionnaire	Investigative Ex. 3
33.	10/29/2021	Expert Report of Gary Gibbons	Depo Ex. 45
34.	8/16/2011	Form ADV Part II	
35.	10/26/2021	Declaration of Steven Rapkin	Def. Dep. Ex. 35
36.	3/1/2012	Form ADV Part II	
37.	6/13/2020	Expert Report of Jonathan R. Macey	Pl. Dep. Ex. 37

38.		Documents Reviewed by Jonathan R. Macey	Pl. Dep. Ex. 38
39.		Appendix 1 to Wells Submission	Pl. Dep. Ex. 39
40.		Microsoft Excel Spreadsheet 12b-1 fees 2016 to 2018	Pl. Dep. Ex. 40
41.	June 2016	CapWealth Advisors, LLC Policies and Procedures Manual	Pl. Dep. Ex. 41
42.		Form ADV Part 2B Supplement – Phoebe J. Venable	Investigative Ex. 4
43.	3/1/2013	Form ADV Part II	
44.		Appendix 1: Share Classes Purchased by CapWealth and Alternative Classes without 12b-1 fees	Pl. Dep. Ex. 44
45.	7/12/2016	Email between Roland and Sterne Agee	SEC-INTLFCS-E-0010466-67 & 68 - native files
46.	12/7/2020	CapWealth 12b-1 fees	SEC-INTLFCS-E-0104638 & native file
47.	4/1/2016	Email from Exner to multiple recipients	SEC-INTLFCS-E-0067302-06 & native file
48.	6/1/2015	Email from Exner to multiple recipients	SEC-INTLFCS-E-0068511-14 & native file
49.	1/4/2016	Email from Exner to multiple recipients	SEC-INTLFCS-E-0012282-85 & native file
50.	1/3/2017	Email from Exner to multiple recipients	SEC-INTLFCS-E-0010206-09 & native file
51.	1/8/2018	Email from Exner to multiple recipients	SEC-INTLFCS-E-0011807-10 & native file
52.	10/12/2010	Amendments to Form ADV, 17 CFR Parts 275 and 279 Release No. IA-3060	
53.	7/22/2013	Form ADV Part II	
54.	10/23/2013	Form ADV Part II	

55.	1/30/2014	Form ADV Part II	
56.	7/16/2014	Form ADV Part II	
57.	7/12/2017	Form ADV Part II	CW001518-51
58.	11/15/2017	Form ADV Part II	CWA000687.000001-
59.	11/29/2017	Form ADV Part II	CW001627-62
60.	12/31/2017	Form ADV Part II	CW001560-93
61.	3/31/2019	Form ADV Part II	
62.	3/30/2015	Form ADV Item 5	
63.	2/8/2016	Form ADV Item 5	
64.	3/7/2017	Form ADV Item 5	
65.	3/31/2018	Form ADV Item 5	
66.	7/12/2017	Form ADV Part 2B Brochure Supplement - Timothy R. Murphy	CW000033-39
67.	3/1/2017	Form ADV Part 2B Brochure Supplement - Timothy R. Murphy	CW000059-65
68.	3/6/2015	Form ADV Part 2B Brochure Supplement - Timothy R. Murphy	CW000105-11
69.	3/6/2015	Form ADV Part 2B Brochure Supplement - Timothy J. Pagliara	CW000118-23
70.	7/12/2017	Form ADV Part 2B Brochure Supplement - Timothy J. Pagliara	CW000040-45
71.	3/1/2017	Form ADV Part 2B Brochure Supplement - Timothy J. Pagliara	CW000066-71
72.	5/15/2021	CapWealth Advisors, LLC's Response to Plaintiff's First Request for Production of Documents	
73.	9/29/2021	CapWealth Advisors, LLC's Response to Plaintiff's First Request for Production of Documents	
74.	11/19/2021	CapWealth Advisors, LLC's Response to Plaintiff's Second Request for Production of Documents	

75.	5/15/2021	Timothy J. Pagliara's Response to Plaintiff's First Request for Production	
76.	5/15/2021	Timothy R. Murphy's Response to Plaintiff's First Requests for Production	
77.	1/28/2019	Email from Pagliara to multiple recipients	CW001887-1900
78.	11/30/2017	12b-1 Advisor Statement	CWA001000.000001
79.	4/30/2018	Email chain between Venable and Jordan	CW001947-49
80.	2/7/2018	Email chain between Venable, Jordan and Olive	CW002502
81.	3/5/2019	Email chain between Pagliara, Jordan, and Venable	CW002585
82.	6/18/2016	Email chain between Venable and Jordan	CW002598
83.	5/23/2018	Email chain between Pagliara, Hitt and Venable	CW001753-54
84.		Investment Management Agreement - Discretionary American Funds Custodian.	CW000877
85.		Investment Management Agreement - Discretionary Sterne Agee custodian	CW000901
86.	June 2015	CapWealth Advisors, LLC Policies and Procedures Manual	CWA000076.000001-130
87.	June 2016	CapWealth Advisors, LLC Code of Ethics	CWA000571.000001-11
88.	July 2017	CapWealth Advisors, LLC Policies and Procedures Manual	CWA000081.000001-132
89.	5/5/2008	CapWealth Advisors, LLC's Clearing Agreement with Sterne Agee.	CW000125-82

90.	5/5/2008	Addendum to CapWealth Advisors, LLC clearing agreement with Sterne Agee.	CW000183
91.	11/23/2010	SEC's Division of Investments Management and Office of Compliance Inspections and Examinations: Information for Newly-Registered Investment Advisers	
92.	1/31/2019	List of CapWealth Client Accounts at INTL FC Stone	CWA000371.000001-3
93.	8/13/2013	Email from Lauren Leibowitz to Timothy Pagliara	CWA000244.000001
94.	8/26/2013	Email chain between Pagliara, Venable and Landers	CWA000242.000001
95.	9/13/2013	Email chain between Landers and Pagliara	CWA000173.000001
96.	1/28/2015	Murphy email to Yancy	CW002384
97.	1/21/2016	McKeand IMA	CW003375-79
98.	1/22/2010	McKeand IMA	CW003380-85
99.	1/31/2020	McKeand IMA	CW003600
100.	1/28/2015	Murphy email to Yancy	CW002383
101.	2/18/2015	Murphy email to CapWealth Advisors Client Services	CW002380

102.	2/24/2015	Murphy email to CapWealth Advisors, LLC Advisors Client Services	CW002373
103.	2/3/2015	Danley IMA	CW005213-18
104.	3/3/2016	Danley IMA	CW005219-23
105.	2/19/2015	Murphy email to CapWealth Advisors Client Services	CW002379
106.	2/25/2015	Murphy email to CapWealth Advisors Client Services	CW002368
107.	2/27/2015	Email chain between Murphy and Hutzel	CW002367
108.	3/3/2015	Email chain between Venable and Roland	CWA000452.000001- CWA000455.000001 & native file
109.	3/3/2015	Email chain between Venable and Roland	CWA000456.000001- CWA000459.000001 & native file
110.		Langteau Chart	TBD
111.	03/11/2015	Roland email to Joyner	SEC-INTLFCS-E-0080970 -71
112.	4/23/2015	Murphy email to CapWealth Advisors, LLC Advisors Client Services	CW002356
113.	5/7/2014	Jones IMA	CW004787
114.	3/9/2015	Jones IMA	CW006561-67
115.	6/17/2016	Jones IMA	CW004795-99

116.	1/25/2018	Jones IMA	CW006568
117.	3/14/2018	Jones IMA	CW004788
118.	3/12/2020	Jones IMA	CW004789-94
119.	5/12/2015	Murphy email to the Trading Desk	CW002355
120.	12/21/2013	Pearson IMA	CW004320
121.	11/12/2015	Pearson IMA	CW003706-10
122.	11/21/2019	Pearson IMA	CW003687-92
123.	1/15/2106	Murphy Letter to Pearsons	CWA002346.000001-59
124.	5/13/2015	Email chain between Venable and Pagliara	CW002512
125.	5/19/2015	Roland email to Venable	CW002620
126.	5/29/2015	Pagliara email to Venable and Lueken	CW001857
127.	5/30/2015	Email chain from Jim and Mary Lampley	CW001851-52
128.	6/12/2015	Roland email to Sterne Agee	SEC-INTLFCS-E-00809 76
129.	6/23/2015	Murphy email to the Trading Desk	CW002347

130.	3/3/2016	Leuty IMA	CW003322-26
131.	7/20/2011	Leuty IMA	CW003316-21
132.	7/25/2016	Email from Hitt to M. Murphy	CWA002233.000001- CWA002234.000012
133.	6/30/2015	Venable email to Story	CW002039
134.	9/28/2015	OMITTED	
135.	9/30/2015	CapWealth Advisors, LLC account statement for Michael Maxwell	SEC-INTLFCS-E-0104695-702
136.	9/30/2015	CapWealth Advisors, LLC account statement for Dawn Maxwell	SEC-INTLFCS-E-0104703
137.	1/16/2014	Langteau IMA	CW005873
138.	7/9/2015	Langteau IMA	CW005478-82
139.	2/6/2018	Langteau IMA	CW005483
140.	11/9/2017	Email from Roland to Venable	CWA000645.000001- CWA000646.000001 & native file
141.	4/24/2017	Email chain between Roland and Venable	CWA000621.000001- CWA000622.000001 & native file
142.	7/11/2017	Email chain between Roland and Venable	CWA000638.000001-2
143.	7/11/2017	Email chain between Roland and Venable	CWA000639.000001-2
144.	10/5/2017	Email chain between Roland, Venable, Olive and Hitt	CWA000667.000001- CWA000668.000001 & native file
145.	1/5/2016	Email from Roland to Pagliara, Olive and Venable	CWA000523.000001-2- CWA000524.000001 & native file
146.	1/5/2016	Email from Roland to Pagliara, Olive and Venable	CWA000521.000001- CWA000522.000001 & native file

147.	1/6/2016	Email from Roland to Pagliara, Olive and Venable	CWA000525.000001-2-CWA000526.000001 & native file
148.	1/6/2017	Email from Roland to Pagliara, Olive and Venable	CWA000598.0000001-CWA000599.000001 & native file
149.	4/6/2017	Email from Roland to Pagliara, Olive and Venable	CWA000619.000001-CWA000620.000001 & native file
150.	6/16/2017	Email chain between Roland and Venable	CWA000630.000001-CWA000631.000001 & native file
151.	8/26/2013	Email chain between Venable, Roland, Landers and others	CWA000242.000001-3
152.	7/7/2017	Email from Roland to Pagliara, Olive, and Venable	CWA000636.000001-CWA000637.000001 & native file
153.	10/9/2017	Murphy email to P. Murphy	CW002237
154.	10/17/2019	Email chain between Murphy, Hitt and others	CW000470-71
155.	11/25/2015	Murphy email to the Trading Desk	CW002340
156.	12/04/2015	Murphy email to the Trading Desk	CW002339
157.	8/29/2016	Murphy email to the CapWealth Trading Desk	CW002301
158.	12/16/2013	Grant IMA	CW004762
159.	8/3/2016	Grant IMA	CW004763-68
160.	1/27/2018	Grant IMA	CW004769
161.	4/13/2016	Murphy email to the Trading Desk	CW002331
162.	5/16/2016	Venable email to Olive and Roland	CW002036

163.	4/12/2017	Email from Murphy to Hitt	CWA000866.000001-3
164.	10/30/2017	Murphy email to the Trading Desk	CW002231
165.	12/16/2019	Pendergrass IMA	CW005107
166.	6/07/2016	Murphy email to the Trading Desk	CW002308
167.	3/1/2019	Email from Yarbrough to Murphy	CW000279 & native file
168.	6/21/2016	White email to Hitt	SEC-INTLFCS-E-0080545-46
169.	7/14/2011	Bogle IMA	CW003052-57
170.	12/16/2013; 3/14/2016	Bogle IMA	CW003058-63
171.	6/21/2016	Murphy email to the Trading Desk	CW002307
172.	6/30/2016	CapWealth Advisors, LLC account statement for William Bogle	SEC-INTLFCS-E-0104673-87
173.	1/6/2016	Email from Roland to Pagliara and others	CWA000525.00001-2 & native file
174.	1/7/2016	Roland email to Sterne Agee	SEC-INTLFCS-E-0059801 & native file
175.	7/7/2017	Email from Roland to Pagliara and others	CWA000636.000001 & native file
176.	8/29/2016	Email chain between White and Hitt	SEC-INTLFCS-E-0045762-63
177.	5/18/2016	Email chain between Roland, Venable and Pagliara	CWA000557.000001-2 & native file
178.	2015	Mutual Fund Model	CWA001380.000001-12
179.	8/30/2016	CapWealth Advisors, LLC account statement for J. Anthony Vaughn	SEC-INTLFCS-E-0104713-22

180.	8/31/2016	CapWealth Advisors, LLC account statement for J. Anthony and Tarenda Vaughn	SEC-INTLFCS-E-0104688-94
181.		OMITTED	
182.	12/30/2016	Murphy email to Morgan Murphy	CW002288
183.	6/21/2019	Email from Murphy to J. Pagliara	CWA000818.000001
184.		OMITTED	
185.	Undated	INTL to PERSHING Summary	CWA001389.000001-5
186.	Undated	Template letter from Pagliara to Willoughby clients	CWA002656.000001-2
187.	5/18/2015	Email from Venable to Roland	CW002622
188.	5/19/2015	Email chain between Venable, J.Pagliara, and Roland	CWA001552.000001
189.	1/29/2016	Email chain between Roland and Venable	CWA000538.000001-2- CWA000539.000001 & native file
190.		OMITTED	
191.	4/06/2017	Email from Murphy to INTL FCStone	CW002267
192.	6/7/2017	Email chain between Roland and Venable	CWA000623.000001- CWA000624.000001 & native file
193.	7/24/2017	Email chain between Venable and Hitt	CW001985
194.	7/24/2017	Venable email to Roland	CW001983-84 & native file

195.	7/24/2017	Venable email to Roland	CW001982
196.	7/24/2017	Venable email to Roland	CWA001528.00001 & 1529 native file
197.	7/25/2017	Roland email to Venable	CW001981
198.		OMITTED	
199.	10/31/2017	October 2017 monthly statement for CapWealth Advisors, LLC account of Jan Davidson	SEC-INTLFCS-E-0104653-58
200.	10/31/2017	October 2017 monthly statement for CapWealth Advisors, LLC IRA account of Jan Davidson	SEC-INTLFCS-E-0104659-664
201.	10/31/2017	October 2017 monthly statement for the CapWealth Advisors, LLC account statement for joint account of Larry and Jan Davidson	SEC-INTLFCS-E-0104665-672
202.	10/31/2017	October 2017 monthly statement for the CapWealth Advisors, LLC advisory account of Jan Davidson	SEC-INTLFCS-E-0104645-52
203.	11/20/2017	CapWealth Advisors, LLC template letter from Pagliara	CW001734-35
204.	11/20/2017	CapWealth Advisors, LLC template letter from Pagliara	CW001732-33
205.	11/20/2017	CapWealth Advisors, LLC template letter from Pagliara and Venable	CWA000300.000001-2
206.	12/01/2017	Email chain between Landers, Pagliara and Venable	CWA000364.000001
207.	12/06/2017	Venable email to Landers	CWA000363.000001

208.	12/19/2017	Pagliara email to Roland	CWA000159.000001
209.	12/22/2017	Email chain between Pagliara to FINRA	CWA000149.000001
210.	2/26/2018	Venable email to Landers	CW001972
211.	2/27/2018	Venable email to Pagliara and Jordan	CW002599
212.	3/14/2018	Pagliara email to Hitt and Venable	CW001758
213.	3/15/2018	Venable email to Pagliara	CW001757
214.	3/15/2018	Venable email to Pagliara	CW001755
215.	3/16/2018	Venable email to Lemma	CW001963
216.	3/20/2018	Email exchange between Schwab and CapWealth Advisors, LLC	CW001958-60
217.	3/22/2018	Landers email to Perniciaro	CWA000414.000001
218.	3/23/2018	Hitt email to Venable	CW001957
219.	4/4/2018	Email chain between Venable and Olive	CW002491
220.	6/12/2018	Email chain between Venable and Peche	Cw001940-42
221.	6/18/2018	Email chain between Jordan and Venable	CW002598
222.	6/21/2018	Email exchange internally at CapWealth Advisors, LLC	CW001937

223.	6/30/2018	Venable email to Hitt and Olive	CW002477
224.		2016 12b-1 revenue detail	CW000845 & native file
225.		2016 Discounted Accounts	CWA0000050.000001 & native file
226.		2016 Billing Analysis	CWA0000049.000001 & native file
227.		2017 12b-1 revenue detail	CW000846 & native file
228.		2017 Discounted Accounts	CWA0000057.000001 & native file
229.		2017 Billing Analysis	CWA0000056.000001 & native file
230.		2018 12b-1 revenue detail	CW000847 & native file
231.		2018 Discounted Accounts	CW000850 & native file
232.		2018 Billing Analysis	CW000849 & native file
233.	Undated	CapWealth Advisors, LLC template letter from Murphy	CW001556-57
234.	Undated	CapWealth Advisors, LLC template letter from Pagliara	CW001558-59
235.	7/13/2018	Hitt email to Venable	CW001930

236.	7/31/2018	Email from Kelly to Murphy and Olive	CW002213
237.	8/2/2018	Email from Kelly to Murphy	CW002206-09
238.	8/15/2018	Email chain from Venable	CW001927
239.	8/16/2018	Email from Langteau to Murphy	CW002203
240.	4/6/2017	Murphy email to the CapWealth Trading Desk	CW002271
241.	9/7/2018	Email from Pagliara to Venable and Hitt	CW001921
242.	10/29/2018	Email chain between Venable, Olive and others	CW002466-67
243.	11/7/2018	Email chain between Venable, Pellizzari and others	CW002465
244.	11/19/2018	Email from Hitt to Venable	CW001901
245.	1/23/2019	Venable email to Landers and Jordan	CW002595
246.	3/4/2019	Venable email to Hitt and Olive	CW001886
247.	3/28/2019	Email chain between Murphy and Smith	CW002191-93
248.	11/30/2017	Email chain between Murphy and Smith	CW002224-28
249.	10/02/2019	Email from Olive to Venable	CW002391
250.	10/16/2019	Email from Hitt to Venable	CW000442

251.	7/2/2015	Email chain between Olive and Sherman	CWA001007.000001-3
252.	5/1/2020	Investigative Testimony Transcript of Timothy J. Pagliara	
253.	4/3/2020	Investigative Testimony Transcript of Phoebe Venable	
254.	9/2/2021	Printout of the "Tax Planning" page of the CapWealth Advisors, LLC website as of September 2, 2021.	Tax Planning - CapWealth Nashville Financial Advisor
255.	2/14/2022	Declaration of Christopher Paul Anthony	
256.	2/26/2010	AmFunds American Balanced Fund Prospectus	
257.	2/29/2012	AmFunds Bond Fund of America Prospectus	
258.	12/16/2011	Invesco Equity and Income Fund Prospectus	
259.	6/1/2012	AmFunds EuroPacific Growth Fund Prospectus	
260.	2/1/2012	AmFunds New Economy Fund Prospectus	
261.	3/1/2012	AmFunds Fundamental Investors Prospectus	

262.	10/1/2014	AmFunds Tax Exempt Bond Fund Prospectus	
263.	11/1/2011	AmFunds Growth Fund of America Prospectus	
264.	12/1/2011	AmFunds American High Income Trust Prospectus	
265.	3/1/2012	AmFunds Investment Co of America Prospectus	
266.	12/22/2014	Allianz Fund Prospectus	
267.	5/1/2012	AmFunds AMCAP Fund Prospectus	
268.	10/1/2011	AmFunds Income Fund of America Prospectus	
269.	1/1/2012	AmFunds American Mutual Fund Prospectus	
270.	12/2/2011	AmFunds New Perspective Fund Prospectus	
271.	11/1/2014	AmFunds Short Term Bond Fund of America Prospectus	
272.	4/30/2014	Baron Energy and Resources Fund Prospectus	
273.	1/28/2014	Baron Growth Fund Prospectus	
274.	4/30/2015	Baron International Growth Fund Prospectus	
275.	1/1/2012	AmFunds Capital Income Builder Prospectus	

276.	1/31/2015	Federated Capital Income Fund Prospectus	
277.	7/1/2012	AmFunds Wash Mutual Investors Fund Prospectus	
278.	6/30/2015	AmFunds Retirement Income Portfolio Conservative Prospectus	
279.	6/30/2015	AmFunds Retirement Income Portfolio Moderate Prospectus	
280.	6/30/2015	AmFunds Retirement Income Portfolio Enhanced Prospectus	
281.	3/1/2014	Deutsche DWS Tech Fund Prospectus	
282.	2/1/2012	AmFunds Cap World Growth and Income Fund Prospectus	
283.	3/28/2014	Delaware Value Fund Prospectus	
284.	3/26/2012	Delaware Value Fund Prospectus	
285.	2/28/2013	MFS Diversified Income Fund Prospectus	
286.	8/9/2014	AmFunds Dev World Growth and Income Fund Prospectus	
287.	8/29/2014	Nuveen Municipal Trust Prospectus	
288.	6/6/2012	Franklin Tax-Free Income Fund Prospectus	

289.	2/1/2012	Franklin Income Fund Prospectus	
290.	2/1/2012	Franklin Growth Fund Prospectus	
291.	6/6/2012	Supplemental Prospectus to multiple Franklin Funds	
292.	2/10/2014	Nuveen Multistate Trust III Prospectus	
293.	7/1/2014	Franklin High Yield Tax Free Income Fund Prospectus	
294.	2/29/2012	Fidelity Advisor Strategic Income Fund Prospectus	
295.	1/1/2012	AmFunds Global Balanced Fund Prospectus	
296.	9/23/2010	Supplemental Prospectus for multiple Hartford Funds	
297.	1/30/2012	Hartford Mid Cap Fund Prospectus	
298.	3/1/2013	Hartford Global All Asset Fund Prospectus	
299.	3/1/2012	Hartford Equity Income Fund	
300.	10/1/2014	AmFunds Income Fund of America	
301.	4/1/2014	Lord Abbett Short Duration Income Fund Prospectus	
302.	9/1/2012	AmFunds Intl Growth and Income Fund	

303.	11/5/2013	Supplemental Prospectus to multiple Lord Abbett Funds	
304.	1/30/2012	Hartford Dividend and Growth Fund Prospectus	
305.	6/28/2013	MFS Value Fund Prospectus	
306.	5/30/2012	MFS Growth Fund Prospectus	
307.	4/30/2014	Massachusetts Investors Trust Prospectus	
308.	12/28/2012	Supplemental Prospectus for multiple MFS Funds	
309.	6/28/2012	MFS New Discovery Fund Prospectus	
310.	1/1/2012	AmFunds New World Fund Prospectus	
311.	12/1/2014	Davis New York Venture Fund Prospectus	
312.	5/1/2014	Davis Opportunity Fund Prospectus	
313.	8/8/2015	Allianz Dividend Value Fund Prospectus	
314.	7/31/2014	Pimco Income Fund Prospectus	
315.	2/29/2012	Principal Equity Income Fund Prospectus	
316.	2/29/2016	Columbia Seligman Comm. and Info Fund Prospectus	
317.	5/1/2012	Columbia – Statement of Additional Information	

318.	2/28/2014	Oppenheimer Equity Income Fund Prospectus	
319.	3/30/2012	Oppenheimer Developing Markets Fund Prospectus	
320.	12/1/2012	AmFunds Small Cap World Fund Prospectus	
321.	1/1/2015	Franklin Templeton Global Bond Fund Prospectus	
322.	2/1/2105	Loomis Sayles Bond Fund Prospectus	
323.	2/27/2015	Blackrock Global Allocation Fund Prospectus	
324.	7/11/2006	<u>In the Matter of IFG Network Sec., Inc.</u> , Exchange Act Release No. 2533, Investment Advisers Act Release No. 2533	
325.	10/2/2013	<u>In the Matter of Manarin Inv. Counsel, Ltd., et al.</u> , Securities Act Release No. 9462, Exchange Act Release No. 70595, Investment Advisers Act Release No. 3686, Investment Company Act Release No. 30740	
326.	10/2/2013	SEC Press Release Entitled: SEC Sanctions Nebraska-Based Investment Adviser for Best Execution Failures for Selecting Mutual Fund Share Clases	
327.	2/26/2015	Speech entitled Conflicts, Conflicts Everywhere – Remarks to the IA Watch 17 th Annual IA Compliance Conference	
328.	6/23/2015	<u>In the Matter of Pekin Singer Strauss Asset Mgm't Inc., et al.</u> , Investment Advisers Act Release No.4126, Investment Company Act Release No. 31688	

329.	1/14/2016	<u>In the Matter of Everhart Fin. Grp., Inc.</u> , Exchange Act Release No. 76897, Investment Advisers Act Release No. 4314	
330.	3/14/2016	<u>In the Matter of Royal Alliance Assocs., Inc., et al.</u> , Exchange Act Release No. 77362, Investment Advisers Act Release No. 4351	
331.	3/14/2016	SEC Press Release entitled AIG Affiliates Charged with Mutual Fund Shares Conflicts	
332.	7/13/2016	National Exam Program Risk Alert entitled: OCIE's 2016 Share Class Initiative	
333.	8/2/2016	<u>In the Matter of Alison, LLC, et al.</u> , Exchange Act Release No. 78457, Investment Advisers Act Release No. 4468, Investment Company Act Release No. 32202	
334.	4/4/2017	<u>In the Matter of Credit Suisse Securities (USA) LLC</u> , Exchange Act Release No. 80373, Investment Advisers Act Release No. 4678	
335.	4/4/2017	<u>In the Matter of Katz</u> , Investments Advisers Act Release No. 4679	
336.	4/4/2017	SEC Press Release entitled SEC Charges Credit Suisse and Former IA Representative with Breaches of Fiduciary Duty	
337.	8/1/2017	<u>In the Matter of Cadaret, Grant & Co., Inc.</u> , Exchange Act Release No. 81274, Investment Advisers Act Release No. 4736	

338.	9/8/2017	<u>In the Matter of Envoy Advisory, Inc.</u> , Investment Advisers Act Release No. 4764	
339.	9/4/2017	<u>In the Matter of Suntrust Invs. Servs., Inc.</u> , Exchange Act Release No. 81611, Investment Advisers Act Release No. 4769	
340.	9/14/2017	SEC Press Release entitled SunTrust Charged with Improperly Recommending Higher-Fee Mutual Funds	
341.	12/21/2017	<u>In the Matter of Packerland Brokerage Servs., Inc., et al.</u> , Exchange Act Release No. 82383, Investment Advisers Act Release No. 4832	
342.	12/21/2018	In the Matter of Thoroughbred Fin. Servs., LLC, et al., Exchange Act Release No. 84918, Investment Advisers Act Release No. 5090	
343.	12/21/2018	SEC Press Release entitled SEC Charges Tennessee Investment Advisory Firm and Two Advisory Representatives with Steering Clients to Higher-Fee Mutual Fund Share Classes	
344.	7/2/2019	Commission Interpretation Regarding Standard of Conduct for Investment Advisers, IA-5248	
345.	1/27/2017	Murphy email to M. Morgan	CW002282
346.	3/7/2016 & 12/16/2013	Anderson IMA	CW005751-56

347.	1/27/2018	Anderson IMA	CW006860
348.	2/3/2017	Murphy email to Hitt	CW002279
349.	2/12/2015	Email chain between Murphy and Sherman	CWA000947.000001-2
350.	2/16/2017	Murphy email to M. Morgan	CW002277
351.	12/11/13	Giles IMA	CW006776
352.	9/29/2015	Giles IMA	CW006777-81
353.	2/20/20	Giles IMA	CW006782-87
354.	3/22/2018	Murphy email to the CapWealth Trading Desk	CW002217-18
355.	2/24/2015	Murphy email to CapWealth Advisor Services	CWA000942.000001

356.	2/24/2016	Murphy email to the CapWealth Trading Desk	CWA000915.000001
357.	8/15/2018	Email from Venable to Lemma, Hitt and Jordan	SEC-CS-E-0000348
358.	9/10/2018	Email chain between Venable, Hitt and Schwab	SEC-CS-E-0000799-804
359.	2/25/2015	Email chain between Murphy and Hutzel	CW002369-71
360.	2/27/2015	Email chain between Murphy and Hutzel	CW002362-66
361.	3/9/2018	Email chain between Murphy, Olive and others	CW002221-2
362.	4/22/2014 and 4/12/2016	Houghton IMA	CW006070-75
363.	1/22/2010	Houghton IMA	CW006063-68
364.	3/10/2017	Murphy email to M. Murphy	CW002275

365.	6/10/10	Naiser IMA	CW006976-82
366.	11/17/2016	Naiser IMA	CW006983-87
367.	2/22/2017	Naiser IMA	CW004971-75
368.	2/12/2018	Naiser IMA	CW006988
369.	1/17/2010	Hensley IMA	CW006077-82
370.	3/9/2016	Hensley IMA	CW006182-86
371.	3/14/2016	Murphy email to the CapWealth Trading Desk	CW002337
372.	4/8/2015	Murphy email to CapWealth Advisors Client Services	CW002360
373.	1/26/2010	Moore IMA	CW003649

374.	4/11/2016	Moore IMA	CW003655-59
375.	3/31/2016; 9/24/2015; 3/6/2014; 2/1/2010	Houston IMA	CW006619-35
376.	1/23/2020	Houston IMA	CW006613-18
377.	9/7/2017	Murphy email to M. Murphy	CW002244
378.	4/10/2015	Murphy email to CapWealth Advisors Client Services	CW002359
379.	4/11/2017	Murphy email to M. Murphy	CW002261
380.	4/12/2017	Email chain between Murphy and Hitt	CW002258-60
381.	4/5/2017	Reale IMA	CW004960-64
382.	4/13/2016	Murphy email to the CapWealth Trading Desk	CW002330

383.	5/3/2016	Email chain between Hitt and Sterne Agee	CW000431-2
384.	4/13/2016	Murphy email to the CapWealth Trading Desk	CW002332
385.	4/15/2016	Email chain between Hitt and Sterne Agee	CW000433-35
386.	3/7/2016	Fowler IMA	CW006397-401
387.	5/4/2016	Murphy email to the CapWealth Trading Desk	CW002309-10
388.	4/23/2015	Murphy email to the CapWealth Trading Desk	CW002356
389.	5/3/2016	Email chain between Murphy, Sterne and others	CW002313-24
390.	5/3/2016	Murphy email to the CapWealth Trading Desk	CW002311-2
391.	5/4/2017	Murphy email to M. Murphy	CW002255

392.	4/9/2013; 12/22/2013	Ellison IMA	CW006728-33
393.	4/13/2017	Ellison IMA	CW006334-38
394.	5/31/2017	Email chain between Murphy and M. Murphy	CW002250-51
395.	6/7/2016	Murphy email to the CapWealth Trading Desk	CW002308
396.	5/11/2016	Marley IMA	CW004609-13
397.	1/27/2018	Marley IMA	CW004608
398.	2/12/2020	Marley IMA	CW004614-19
399.	6/12/2017	Murphy email to M. Murphy	CW002249
400.	6/29/2016	Helmets IMA	CW002900-04

401.	7/13/2016	Murphy email to the CapWealth Trading Desk	CW002306
402.	7/16/2015	Murphy email to the CapWealth Trading Desk	CW002345
403.	4/1/2016	Murphy email to the CapWealth Trading Desk	CW002336
404.	4/13/2016	Murphy email to the CapWealth Trading Desk	CW002335
405.	10/6/2015	Sanders IMA	CW005161-65
406.	4/13/2016	Murphy email to M. Murphy	CW002333-34
407.	4/26/2016	Murphy email to the CapWealth Trading Desk	CW002329
408.	8/26/2016	Murphy email to the CapWealth Trading Desk	CW002302
409.	8/29/2016	Murphy email to M. Murphy	CW002300

410.	8/29/2016	Murphy email to M. Murphy	CW002298-99
411.	11/2/2016	Murphy email to the CapWealth Trading Desk	CW002296
412.	8/27/2015	Murphy email to the CapWealth Trading Desk	CW002344
413.	9/3/2015	Murphy email to the CapWealth Trading Desk	CW002343
414.	10/6/2014	Rushton IMA	CW006790-95
415.	3/14/2016	Rushton IMA	CW006796-800
416.	9/4/2015	Murphy email to the CapWealth Trading Desk	CW002342
417.	3/19/2010 and 3/16/2014	Smith IMA	CW003928-34
418.	3/21/2016	Smith IMA	CW004414-18

419.	1/11/2018	Smith IMA	CW004408-13
420.	1/3/2019	Yarbrough email to Murphy	CW000451-52 & native file
421.	4/28/2017	Murphy email to M. Murphy	CW002256
422.	11/1/2017	Murphy email to Hitt	CW002230
423.	9/13/2017	Murphy email to M. Murphy	CWA000854.000001
424.	9/14/2017	Murphy email to M. Murphy	CW002241
425.	1/30/2017	Murphy email to M. Murphy	CW002281
426.	5/13/2015	Murphy email to the CapWealth Trading Desk	CW002353
427.	3/6/2014 & 6/15/12	Stephenson IMA	CW004301-07

428.	7/23/2015	Stephenson IMA	CW004308-12
429.	1/11/2018	Murphy email to the CapWealth Trading Desk	CW002223
430.	4/26/2019	Murphy email to Hitt	CW000382
431.	9/15/2017	Murphy email to M. Murphy	CW002238-39
432.	2010	McCormick IMA	CW005577-82
433.	2/20/2020	McCormick IMA	CW004842-47
434.	2/26/2015	McCormick IMA	CW004836
435.	8/2/2016	McCormick IMA	CW004837-41
436.	9/17/2015	Murphy email to the CapWealth Trading Desk	CW002341

437.	10/12/2017	Murphy email to the CapWealth Trading Desk	CW002235
438.	10/20/2017	Murphy email to the CapWealth Trading Desk	CWA000844.000001
439.	10/23/2017	Email chain between Murphy and Hitt	CWA000845.000001-2
440.	11/2/2016	Murphy email to the CapWealth Trading Desk	CW002297
441.	9/19/2016	Stapleton IMA	CW004905-09
442.	2/18/2016	Stapleton IMA	CW004910-14
443.	6/12/2017	Murphy email to M. Murphy	CW002295
444.	12/4/2015	Murphy email to the CapWealth Trading Desk	CWA000916.000001
445.	12/9/2016	Murphy email to the CapWealth Trading Desk	CW002293

446.	12/28/2016	Murphy email to M. Murphy	CW002292
447.	1/25/2017	Murphy email to M. Murphy	CW002284-87
448.	11/27/2016	Martin IMA	CW005227-31
449.	1/29/2018	Martin IMA	CW005232
450.	12/15/2019	Martin IMA	CW005233-38
451.	10/26/2021	Appendix 1 to 10/26/2021 Rapkin Declaration: Share Classes Purchased by CapWealth and Alternative Classes Without 12b-1 Fees	
452.	10/26/2021	Appendix 2 to 10/26/2021 Rapkin Declaration: Avoidable 12b-1 Fees Paid by CapWealth Clients, 6/9/15-6/30/2018	
453.	10/26/2021	Appendix 3 to 10/26/2021 Rapkin Declaration: Best Exection Failures for CapWealth Clients, 6/9/15-6/30/18	
454.	10/26/2021	Appendix 4 to 10/26/2021 Rapkin Declaration; Avoidable 12b-1 Fees Paid by CapWealth Clients in AmFunds, 6/9/15-6/30/2018	

455.	10/26/2021	Appendix 5 to 10/26/2021 Rapkin Declaration: Best Execution Failures for CapWealth Clients in AMFunds, 6/9/15-6/30/18	
456.	10/26/2021	Appendix 6 to 10/26/2021 Rapkin Declaration: CapWealth Advisory Accounts Paying 12b-1 Fees, 1/1/15-6/30/18	
457.	1/28/2022	Appendix 1 to 1/28/22 Rapkin Declaration: CapWealth Accounts that Paid Avoidable 12b-1 fees December 2014, Grouped by Discount Codes	
458.	1/28/2022	Appendix 2 to 1/28/22 Rapkin Declaration: Examples of Best Execution Failures by Fund for CapWealth Clients, 6/9/15-6/30/18	
459.	2/5/2022	Appendix 1 to Third Declaration of Steven Rapkin: Accounts by Total Avoidable 12b-1 fees paid, June 2015- June 2018	
460.	2/5/2022	Appendix 2 to Third Declaration of Steven Rapkin: Avoidable 12b-1 fees by CapWealth Account 6/9/15 – 6/30/18	
461.	7/29/2016	Email from Roland to Venable and Hitt	CWA002227.000001 & native file
462.	1/23/2010 & 12/27/2013	Winstead IMA	CWA001134.000001-07
463.	6/18/2015	Murphy email to the CapWealth Trading Desk	CW002348

464.	3/15/2015	Durham IMA	CW003353-54
465.	6/23/2015	Murphy email to the CapWealth Trading Desk	CW002346
466.	2/22/2010	Hollis IMA	CW003193-98
467.	6/10/2012	Morgan IMA	CW005383
468.	8/23/2015	Morgan IMA	CW007354-59
469.	7/15/2020	CapWealth 12b-1 Name Address File produced.xlsx	SEC-INTLFCS-E-0104639
470.	1/8/2015	Eligible Fund List 01.08.15	SEC-INTLFCS-E-0069687-90
471.	2/3/2015	ELIGIBLE FUND LIST 013015	SEC-INTLFCS-E-0069683-86
472.	4/10/2015	Eligible Fund List April 2015	SEC-INTLFCS-E-0011114-17

473.	6/1/2015	June 2015 Eligible Fund List	SEC-INTLFCS-E-0068511-14
474.	7/9/2015	July 2015 Eligible Fund List	SEC-INTLFCS-E-0068506-10
475.	8/12/2015	August 2015 Eligible List	SEC-INTLFCS-E-0067319-23
476.	10/5/2015	October 2015 Eligible Fund List	SEC-INTLFCS-E-0068955-59
477.	12/7/2015	Eligible Fund List 12.15	SEC-INTLFCS-E-0067719-22
478.	1/4/2016	Eligible Fund List 12.31.15	SEC-INTLFCS-E-0012282-85
479.	2/2/2016	Eligible Fund List 02.01.2016	SEC-INTLFCS-E-0068067-71
480.	3/3/2016	Eligible Fund List 03.01.16	SEC-INTLFCS-E-0012367-70
481.	4/1/2016	Eligible Fund List 04.01.16	SEC-INTLFCS-E-0067302-06

482.	5/4/2016	Eligible Fund List 05.01.16	SEC-INTLFCS-E-0068621-24
483.	6/6/2016	Eligible Fund List 06.01.16	SEC-INTLFCS-E-0010218
484.	7/6/2016	Eligible Fund List 07.01.16	SEC-INTLFCS-E-0072372-75
485.	8/3/2016	Eligible Fund List 08.02.16	SEC-INTLFCS-E-0067324-28
486.	9/1/2016	Eligible Fund List 09.01.16	SEC-INTLFCS-E-0010231-35
487.	10/4/2016	Eligible Fund List 10.03.16	SEC-INTLFCS-E-0010236-39
488.	11/2/2016	Eligible Fund List 11.01.16	SEC-INTLFCS-E-0066650-53
489.	12/5/2016	Eligible Fund List 12.01.16	SEC-INTLFCS-E-0010275-78
490.	1/3/2017	Eligible Fund List 01.03.17	SEC-INTLFCS-E-0010206-09

491.	2/2/2017	02.01.17 eligible fund list	SEC-INTLFCS-E-0011651-53
492.	3/1/2017	03.01.17 Eligible Fund List	SEC-INTLFCS-E-0011727-29
493.	4/3/2017	Eligible Fund List 04.03.17	SEC-INTLFCS-E-0011730-32
494.	5/2/2017	Eligible Fund List 05.01.2017	SEC-INTLFCS-E-0011819-21
495.	6/2/2017	Eligible Fund List 06.01.2017	SEC-INTLFCS-E-0011795-97
496.	7/6/2017	Eligible Mutual Fund List 06.30.17	SEC-INTLFCS-E-0011690-92
497.	9/5/2017	Available Mutual Fund List 09.01.17	SEC-INTLFCS-E-0011782-85
498.	10/3/2017	Available Mutual Fund List 10.02.17	SEC-INTLFCS-E-0011660-63
499.	11/7/2016	11.06.17 Available Fund List	SEC-INTLFCS-E-0011753-56

500.	12/7/2017	Available Mutual Fund List 12.06.17	SEC-INTLFCS-E-0011803-06
501.	1/8/2018	Available Fund List 01.08.18	SEC-INTLFCS-E-0011807-10
502.	2/26/2018	Available Mutual Fund List 02.01.18	SEC-INTLFCS-E-0056644
503.	3/1/2018	Available Mutual Fund List 03.01.18	SEC-INTLFCS-E-0011757-61
504.	4/2/2018	Available Mutual Fund List 04.02.18	SEC-INTLFCS-E-0011678-83
505.	5/1/2018	Available Mutual Fund List 05.01.18	SEC-INTLFCS-E-0011769-72
506.	6/1/2018	Available Mutual Fund List 06.01.18	SEC-INTLFCS-E-0011733-36
507.	7/9/2018	Available Mutual Fund List	SEC-INTLFCS-E-0067980-83
508.		2016 Q1 RC	CWA000051.000001 & native file

509.		2016 Q2 RC	CWA000052.000001 & native file
510.		2016 Q3 RC	CWA000053.000001 & native file
511.		2016 Q4 RC	CWA000054.000001 & native file
512.		2017 Q1 RC	CWA000058.000001 & native file
513.		2017 Q2 RC	CWA000059.000001 & native file
514.		2017 Q3 RC	CWA000060.000001 & native file
515.		2017 Q4 RC	CWA000061.000001 & native file
516.		2018 Q2 RC	CWA000065.000001 & native file
517.	2/24/2015	Murphy Email to CapWealth Advisors Client Services	CW002374

518.	1/27/2017	Murphy email to M. Murphy	CW002283
519.	2/22/2017	Murphy email to M. Murphy	CW002276
520.	3/24/2017	Murphy email to M. Murphy	CW002274
521.	4/17/2017	Murphy email to M. Murphy	CW002257
522.	8/17/2017	Murphy email to M. Murphy	CW002246
523.	9/13/2017	Murphy email to M. Murphy	CW002242
524.	9/15/2017	Murphy email to M. Murphy	CW002240
525.	3/2/2016	Davidson IMA	CW003269-73
526.	12/30/2013 & 1/10/2010	Davidson IMA	CW003274-80

527.		Davidson IMA	CW002882-86
528.	1/10/2010	Davidson IMA	CW003237-49
529.	10/9/2017	Murphy email to the CapWealth Trading Desk	CW002236
530.	3/12/2013	Grossholz IMA	CW002745-50
531.	1/24/2017	Grossholz IMA	CW002751-55
532.	12/16/2013 & 1/10/2010	Bates IMA	CW006322-27
533.	10/9/2015	Bates IMA	CW006328-32
534.	4/7/2011	Heflin IMA	CW002914-18
535.	3/15/2017	Heflin IMA	CW003356-60

536.	3/3/2014	Smithson IMA	CW007401
537.	1/10/2010	Hughes IMA	CW003457-62
538.	12/16/2013	Woodall IMA	CW006467
539.	3/4/2016	Woodall IMA	CW006462-66
540.	9/22/2014	Bryan IMA	CW006734-39
541.	3/4/2016	Bryan IMA	CW006740-44
542.		Wheeler IMA	CW006152-56
543.	1/31/2016	Langteau Statement	SEC-STONEX-E-0004886-96
544.	2/29/2016	Langteau Statement	SEC-STONEX-E-0004933-42

545.	3/31/2016	Langteau Statement	SEC-STONEX-E-0004943-62
546.	4/30/2016	Langteau Statement	SEC-STONEX-E-0004963-72
547.	5/31/2016	Langteau Statement	SEC-STONEX-E-0004973-82
548.	6/30/2016	Langteau Statement	SEC-STONEX-E-0004983-95
549.	7/31/2016	Langteau Statement	SEC-STONEX-E-0004996-5006
550.	8/31/2016	Langteau Statement	SEC-STONEX-E-0005007-16
551.	9/30/2016	Langteau Statement	SEC-STONEX-E-0005017-34
552.	10/31/2016	Langteau Statement	SEC-STONEX-E-0004897-906
553.	11/30/2016	Langteau Statement	SEC-STONEX-E-000907-17

554.	12/31/2016	Langteau Statement	SEC-STONEX-E-0004918-32
555.	1/31/2017	Langteau Statement	SEC-STONEX-E-0005035-44
556.	2/28/2017	Langteau Statement	SEC-STONEX-E-0005045-55
557.	3/31/2017	Langteau Statement	SEC-STONEX-E-0005056-75
558.	4/30/2017	Langteau Statement	SEC-STONEX-E-0005076-85
559.	5/31/2017	Langteau Statement	SEC-STONEX-E-0005086-94
560.	6/30/2017	Langteau Statement	SEC-STONEX-E-0005095-100
561.	7/31/2017	Langteau Statement	SEC-STONEX-E-0005101-07
562.	1/31/2016	Winstead Statement	SEC-STONEX-E-0016888-96

563.	2/29/2016	Winstead Statement	SEC-STONEX-E-0016930-38
564.	3/31/2016	Winstead Statement	SEC-STONEX-E-0016939-57
565.	4/30/2016	Winstead Statement	SEC-STONEX-E-0016958-66
566.	5/31/2016	Winstead Statement	SEC-STONEX-E-0016967-76
567.	6/30/2016	Winstead Statement	SEC-STONEX-E-0016977-87
568.	7/31/2016	Winstead Statement	SEC-STONEX-E-0016988-97
569.	8/31/2016	Winstead Statement	SEC-STONEX-E-0016998-7007
570.	9/30/2016	Winstead Statement	SEC-STONEX-E-0017008-24
571.	10/31/2016	Winstead Statement	SEC-STONEX-E-0016897-905

572.	11/30/2016	Winstead Statement	SEC-STONEX-E-0016906-15
573.	12/31/2016	Winstead Statement	SEC-STONEX-E-0016916-29
574.	1/31/2017	Winstead Statement	SEC-STONEX-E-0017025-33
575.	2/28/2017	Winstead Statement	SEC-STONEX-E-0017034-43
576.	3/31/2017	Winstead Statement	SEC-STONEX-E-0017044-61
577.	4/30/2017	Winstead Statement	SEC-STONEX-E-0017062-71
578.	5/31/2017	Winstead Statement	SEC-STONEX-E-0017072-81
579.	6/30/2017	Winstead Statement	SEC-STONEX-E-0017082-87
580.	7/31/2017	Winstead Statement	SEC-STONEX-E-0017088-93

581.	1/31/2016	Sullivan Statement	SEC-STONEX-E-0017340-47
582.	2/29/2016	Sullivan Statement	SEC-STONEX-E-0017379-86
583.	3/31/2016	Sullivan Statement	SEC-STONEX-E-0017387-404
584.	4/30/2016	Sullivan Statement	SEC-STONEX-E-0017405-13
585.	5/31/2016	Sullivan Statement	SEC-STONEX-E-0017414-21
586.	6/30/2016	Sullivan Statement	SEC-STONEX-E-0017422-32
587.	7/31/2016	Sullivan Statement	SEC-STONEX-E-0017433-40
588.	8/31/2016	Sullivan Statement	SEC-STONEX-E-0017441-49
589.	9/30/2016	Sullivan Statement	SEC-STONEX-E-0017450-65

590.	10/31/2016	Sullivan Statement	SEC-STONEX-E-0017348-57
591.	11/30/2016	Sullivan Statement	SEC-STONEX-E-0017358-66
592.	12/31/2016	Sullivan Statement	SEC-STONEX-E-0017367-78
593.	1/31/2017	Sullivan Statement	SEC-STONEX-E-0017466-74
594.	2/28/2017	Sullivan Statement	SEC-STONEX-E-0017475-82
595.	3/31/2017	Sullivan Statement	SEC-STONEX-E-0017483-99
596.	4/30/2017	Sullivan Statement	SEC-STONEX-E-0017500-07
597.	5/31/2017	Sullivan Statement	SEC-STONEX-E-0017508-15
598.	6/30/2017	Sullivan Statement	SEC-STONEX-E-0017516-21

599.	7/31/2017	Sullivan Statement	SEC-STONEX-E-0017522-27
600.	1/31/2016	Bradley Arant Statement	SEC-STONEX-E-0014059-69
601.	2/29/2016	Bradley Arant Statement	SEC-STONEX-E-0014109-19
602.	3/31/2016	Bradley Arant Statement	SEC-STONEX-E-0014120-39
603.	4/30/2016	Bradley Arant Statement	SEC-STONEX-E-0014140-49
604.	5/31/2016	Bradley Arant Statement	SEC-STONEX-E-0014150-59
605.	6/30/2016	Bradley Arant Statement	SEC-STONEX-E-0014160-73
606.	7/31/2016	Bradley Arant Statement	SEC-STONEX-E-0014174-84
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736.	4/30/2016	Watts Statement	SEC-STONEX-E-0016334-43
737.	5/31/2016	Watts Statement	SEC-STONEX-E-0016344-53
738.	6/30/2016	Watts Statement	SEC-STONEX-E-0016354-65
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750.	6/30/2017	Watts Statement	SEC-STONEX-E-0016467-73
751.	7/31/2017	Watts Statement	SEC-STONEX-E-0016474-79

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756.	9/30/2016	Hughey Statement	SEC-STONEX-E-0007627-43
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758.	11/30/2016	Hughey Statement	SEC-STONEX-E-0007565-74
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786.	1/31/16	Phillip N Brown & Pamela B Brown Statement	SEC-Stonex-E-0014835 -47
787.	2/29/16	Phillip N Brown & Pamela B Brown Statement	SEC-Stonex-E-0014887 - 97
788.	3-31-16	Phillip N Brown & Pamela B Brown Statement	SEC-Stonex-E-0014898 - 918

789.	4/30/16	Phillip N Brown & Pamela B Brown Statement	SEC-StoneX-E-0014919 - 30
790.	5/31/16	Phillip N Brown & Pamela B Brown Statement	SEC-StoneX-E-0014931- 41
791.	6/30/16	Phillip N Brown & Pamela B Brown Statement	SEC-StoneX-E-0014942 - 55
792.	7/31/16	Phillip N Brown & Pamela B Brown Statement	SEC-StoneX-E-0014956- 68
793.	8/31/16	Phillip N Brown & Pamela B Brown Statement	SEC-StoneX-E-0014969 - 79
794.	9/30/16	Phillip N Brown & Pamela B Brown Statement	SEC-StoneX-E-0014980 - 98
795.	10/31/16	Phillip N Brown & Pamela B Brown Statement	SEC-StoneX-E-0014848 - 59
796.	11/30/16	Phillip N Brown & Pamela B Brown Statement	SEC-StoneX-E-0014860 - 71
797.	12/31/16	Phillip N Brown & Pamela B Brown Statement	SEC-StoneX-E-0014872 - 86
798.	1/31/17	Phillip N Brown & Pamela B Brown Statement	SEC-StoneX-E-0014999 - 5010
799.	2/28/17	Phillip N Brown & Pamela B Brown Statement	SEC-StoneX-E-0015011 - 21

800.	3/30/17	Phillip N Brown & Pamela B Brown Statement	SEC-StoneX-E-0015022 - 32
801.	4/30/17	Phillip N Brown & Pamela B Brown Statement	SEC-StoneX-E-0015042 - 53
802.	5/31/17	Phillip N Brown & Pamela B Brown Statement	SEC-StoneX-E-0015054 - 66
803.	6/30/17	Phillip N Brown & Pamela B Brown Statement	SEC-StoneX-E-0015067 - 72
804.	7/31/17	Phillip N Brown & Pamela B Brown Statement	SEC-StoneX-E-0015073 - 79
805.	8/5/15	Melody Sullivan Investment Management Agreement	CW004446 – CW004451
806.	11/15/11	Bradley Arant Boult Cumming Investment Management Agreement	CX 006140 – CW006145
807.	1/2/2010	Horace R Baker IRA Investment Management Agreement	CWA001024-000001 – CWA001024-000006
808.	2/5/15	Horace R Baker and Mary Baker Schedule A to Investment Management Agreement	CWA001281,00001
809.	Undated	Richard Warren Trustee Investment Management Agreement	CW005295 – CW005300

810.	9/29/15	David and Jane Giles Investment Management Agreement	CW006777 – CW006781
811.	3/1/13	Lisa Ann Hughey Investment Management Agreement	CW003084 – CW003089
812.	5/18/16	Lisa Ann Hughey Investment Management Agreement	CWA001156.000001 – CWA001156.000005
813.	9/5/15	Phyllis McKinney Investment Management Agreement	CWA001321.000001 – CWA001321.000005
814.	12/17/13	Phyllis McKinney Schedule A to Investment Management Agreement	CWA1320.000001
815.	4/30/10	Phillip and Pamela Brown Investment Management Agreement	CWA1317.000001 – CWA1317.000006
816.	4/30/10	Phillip and Pamela Brown Investment Management Agreement	CW003305- CW003310
817.	1/10/10	WT Hughes Investment Management Agreement	CWA001316.000001- CWA001316.000006
818.	12-3-13	Mitch A Watts Schedule A to Investment Management Agreement	CW007391

819.	Undated	CapWealth Quarterly Statement Disclosures Third Quarter 2014	TBD
820.	12/31/14	Mary Lampley CapWealth Account Year End Report	TBD
821.	12/31/14	Lampley Joint CapWealth Account Year End Report	TBD
822.	9/30/15	Mary Lampley CapWealth Account Quarterly Report	TBD
823.	5/1/15	Lampley Investment Management Agreement	TBD
824.	5/1/15	Lampley Pershing Account Application	TBD
825.	6/2/15	Lampley email exchange with Venable	TBD
826.	5/20/22	Carol Langteau email to Brian Basinger re Webex Interview 5/20	TBD
827.		Rapkin Summary Exhibit re Share Class Conversions vs Unconverted Clients	

828.		Rapkin Summary Exhibit – Best Execution Violations by Fund	
829.		Rapkin Summary Exhibit- Best Execution Violations by Client	
830.		Rapkin Summary Exhibit- Client Management Fee Discounts by Account	
831.		Rapkin Summary Exhibit- Client Management Fee Discounts by Household	
832.		Rapkin Summary Exhibit Comparison of Advisory Fee Rates by Household Accounts	
833.		Rapkin Summary Exhibit: Impact of Avoidable 12b-1 Fee per Household	

Dated: May 27, 2022

Respectfully submitted,

/s/ Kristin W. Murnahan

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CERTIFICATE OF SERVICE

This is to certify that on May 27, 2022, I caused the following Plaintiff's Exhibit List to be served on the following counsel for defendants through the Court's ECF system:

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